

§ 249.0-1

Act of 1934 and §240.17a-23 of this chapter.

249.637 Form ATS, information required of alternative trading systems pursuant to §242.301(b)(2) of this chapter.

249.638 Form ATS-R, information required of alternative trading systems pursuant to §242.301(b)(8) of this chapter.

Subpart H—Forms for Reports as to Stabilization

249.709 [Reserved]

Subpart I—Forms for Self-Regulatory Organization Rule Changes and Forms for Registration of and Reporting by National Securities Associations and Affiliated Securities Associations

249.801 Form X-15AA-1, for application for registration as a national securities association or affiliated securities association.

249.802 Form X-15AJ-1, for amendatory and/or supplementary statements to registration statement of a national securities association or an affiliated securities association.

249.803 Form X-15AJ-2, for annual consolidated supplement of a national securities association or an affiliated securities association.

249.819 Form 19b-4, for filings with respect to proposed rule changes by all self-regulatory organizations.

249.820 Form 19b-4(e) for the listing and trading of new derivative securities products by self-regulatory organizations that are not deemed proposed rule changes pursuant to Rule 19b-4(e) (§240.19b-4(e)).

249.821 Form PILOT, information required of self-regulatory organizations operating pilot trading systems pursuant to §240.19b-5 of this chapter.

Subpart J [RESERVED]

Subpart K—Forms for Registration of, and Reporting by Securities Information Processors

249.1001 Form SIP, for application for registration as a securities information processor or to amend such an application or registration.

Subpart L—Forms for Registration of Municipal Securities Dealers

249.1100 Form MSD, application for registration as a municipal securities dealer pursuant to rule 15Ba2-1 under the Securities Exchange Act of 1934 or amendment to such application.

17 CFR Ch. II (4-1-00 Edition)

249.1110 Form MSDW, notice of withdrawal from registration as a municipal securities dealer pursuant to Rule 15Bc3-1 (17 CFR 240.15Bc3-1).

Subpart M—Forms for Reporting and Inquiry With Respect to Missing, Lost, Stolen, or Counterfeit Securities

249.1200 Form X-17F-1A—Report for missing, lost, stolen or counterfeit securities.

AUTHORITY: 15 U.S.C. 78a, *et seq.*, unless otherwise noted;

Section 249.310 is also issued under 15 U.S.C. 78m, 78o(d), and 78w(a).

Section 249.326(T) also issued under section 13(f)(1) (15 U.S.C. 78m(f)(1)).

SOURCE: 33 FR 18995, Dec. 20, 1968; 34 FR 554, Jan. 15, 1969, unless otherwise noted.

EDITORIAL NOTE: For nomenclature changes to this part see 57 FR 36501, Aug. 13, 1992, and 57 FR 47409, Oct. 16, 1992.

§ 249.0-1 Availability of forms.

(a) This part identifies and describes the forms prescribed for use under the Securities Exchange Act of 1934.

(b) Any person may obtain a copy of any form prescribed for use in this part by written request to the Securities and Exchange Commission, 450 Fifth Street, NW., Washington, DC 20549. Any person may inspect the forms at this address and at the Commission's regional and district offices. (See §200.11 of this chapter for the addresses of SEC regional or district offices)

[46 FR 17757, Mar. 20, 1981, as amended at 47 FR 26820, June 22, 1982; 59 FR 5946, Feb. 9, 1994]

Subpart A—Forms for Registration or Exemption of, and Notification of Action Taken by, National Securities Exchanges

§ 249.1 Form 1, for application for, and amendments to applications for, registration as a national securities exchange or exemption from registration pursuant to Section 5 of the Exchange Act.

The form shall be used for application for, and amendments to applications for, registration as a national securities exchange or exemption from registration pursuant to Section 5 of the Act, (15 U.S.C. 78e).

[63 FR 70925, Dec. 22, 1998]